

NEW APPLICATION



0000098286

ORIGINAL

BEFORE THE ARIZONA CORPORATION COMMISSION

RECEIVED

COMMISSIONERS

2009 MAY 18 A 11:15

KRISTIN K. MAYES, Chairman  
GARY PIERCE  
PAUL NEWMAN  
SANDRA D. KENNEDY  
BOB STUMP

ARIZONA CORPORATION COMMISSION  
DOCKET CONTROL

In the matter of

MERRILL LYNCH, PIERCE, FENNER &  
SMITH INCORPORATED,

Respondent.

DOCKET NO. S-03497A-09-0242

**FILING TO OPEN DOCKET**

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondent.

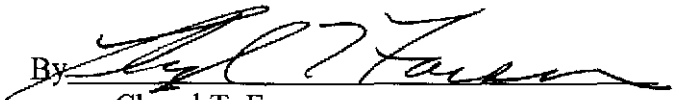
Respondent's mailing address is:

222 Broadway, 16<sup>th</sup> Floor  
New York, NY 10038

Dated this 18th day of May 2009.

ARIZONA CORPORATION COMMISSION

By

  
Cheryl T. Farson

General Counsel for the Securities Division  
of the Arizona Corporation Commission

Arizona Corporation Commission  
**DOCKETED**

MAY 18 2009

DOCKETED BY

nr